

11/26/03

Docket No. AM100305  
Patent

1624

## THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re of Application of: Anita W-Y. Chan  
Application No.: 10/016,229 Group Art No.: 1624  
Filed: November 2, 2001 Examiner: B. Coleman  
For: PROCESS FOR THE PREPARATION OF 1, 2, 3, 4, 8, 9, 10, 10a-  
OCTAHYDRO-7bH-CYCLOPENTA[b][1, 4]DIAZEPINO- [6, 7, 1-hi]  
INDOLE DERIVATIVES  
Confirmation No.: 9006  
Customer Number: 25291

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Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

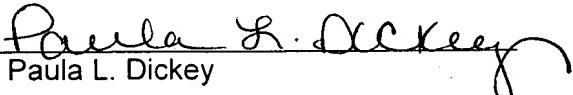
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT1. Preliminary Statements

In accordance with 37 CFR 1.97 and 1.98, Applicants submit herewith patents, publications, or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56. This Information Disclosure Statement is not to be construed as a representation that: (i) a search has been made; (ii) the information is material to the examination of this application; (iii) additional information material to the examination of this application does not exist; (iv) the information, protocols, results and the like reported by third parties are accurate or enabling; or (v) the information constitutes prior art to the subject invention.

**CERTIFICATE OF MAILING 37 CFR §1.10**

I hereby certify that this paper and the documents referred to as enclosed therein are being deposited with the United States Postal Service on the date written below in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EU947815626US addressed to the Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

November 25, 2003  
Date

  
Paula L. Dickey

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This Information Disclosure Statement

- a.  is filed within three months of the filing date of the application.
- b.  is filed before the mailing date of a first Office Action on the merits.
- c.  is filed before the mailing date of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.
- d.  is filed after the period specified in 2(a), 2(b) or 2(c) above, but before the mailing date of a final action under 37 CFR 1.311. This statement includes a certification under 37 CFR 1.97(e) or the fee set forth in 37 CFR 1.17(p).
- e.  is filed after the mailing date of a final action or Notice of Allowance but before payment of the issue fee. This statement includes (i) a certification under 37 CFR 1.97(e), and (ii) the fee set forth in 37 CFR 1.17(p).

3.  Certification under 37 CFR 1.97(e) and 1.704(d)

The undersigned attorney certifies

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A legible copy of the patents, publications or other information cited on the attached form PTO 1449 is enclosed, except that if this patent application was filed or entered the national stage after June 30, 2003, no copy of a U.S. patent or U.S. patent application publication is enclosed.

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No copy of the patents, publications or other information cited on the attached form PTO-1449 is enclosed because it has been previously cited by or submitted to the Office in a prior application which is relied upon for an earlier filing date under 35 USC 120.

Prior application is Application Number , filed on of for

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Documents cited above which are not in the English Language
- a.  have been explained in the specification.  
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Form PTO-1449 is enclosed in duplicate.

- Fees  
 Fee for filing under 37 CFR 1.97(c) or (d)      Fee: \$180.00

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Substitute for form 1449/PTO

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

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Sheet

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of

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## Complete if Known

Application Number	10/016,229
Filing Date	November 2, 2001
First Named Inventor	Anita W-Y. Chan
Group Art Unit	1624
Examiner Name	B. Coleman
Attorney Docket Number	AM100305

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number (If known)	Kind Code (If Known)			
1.						

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (If Known)				
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## OTHER PRIOR ART — NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.		T
		3.	H.P. HARTER et al., Chimia, 30, 50-52, (1976)	

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